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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/970,063	10/03/2001	George Stone Ludwig	ALOSIA	9033

7590 05/03/2005

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EXAMINER
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POLTORAK, PIOTR

ART UNIT	PAPER NUMBER
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2134

DATE MAILED: 05/03/2005

Please find below and/or attached an Office communication concerning this application or proceeding.

## Office Action Summary

Application No.

09/970,063

Applicant(s)

LUDWIG, GEORGE STONE

Examiner

Peter Poltorak

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If the period for reply specified above is less than thirty (30) days, a reply within the statutory minimum of thirty (30) days will be considered timely.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 03 October 2001.  
2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.  
3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-10 is/are pending in the application.  
4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.  
5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.  
6) ☒ Claim(s) 1-10 is/are rejected.  
7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.  
8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.  
10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).  
11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).  
a) ☐ All b) ☐ Some \* c) ☐ None of:  
1. ☐ Certified copies of the priority documents have been received.  
2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.  
3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)  
2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)  
3) ☐ Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08)  
Paper No(s)/Mail Date \_\_\_\_\_.  
4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date \_\_\_\_\_.  
5) ☐ Notice of Informal Patent Application (PTO-152)  
6) ☐ Other: \_\_\_\_\_.

**DETAILED ACTION**

1. Claims 1-10 have been examined.

***Claim Objections***

2. The term proxy in phrase "or proxy" (claim 1) seems to be missing an article "a".

***Claim Rejections - 35 USC § 112***

The following is a quotation of the second paragraph of 35 U.S.C. 112:

The specification shall conclude with one or more claims particularly pointing out and distinctly claiming the subject matter which the applicant regards as his invention.

3. Claims 1-10 are rejected under 35 U.S.C. 112, second paragraph, as being indefinite for failing to particularly point out and distinctly claim the subject matter that applicant regards as the invention.
4. The phrase: "request for access is authorized by the proxy" in claim 1 is not understood. The phrase is treated as "the proxy is used to authorize a request for access".
5. Claims 2-10 are rejected by virtue of their dependence.

Appropriate correction is required.

***Claim Rejections - 35 USC § 102***

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

6. Claims 1-2, 4-8 are rejected under 35 U.S.C. 102(b) as being anticipated by *Feghhi et al.* (*Jalal Feghhi, Jalil Feghhi, Peter Williams, "Digital Certificates Applied Internet Security, 1999, ISBN: 0201309807.*
7. As per claims 1, 5-6 and 8 *Feghhi et al.* discloses a certificate (*Table 6-1, pg. 165*) that comprise subject, issuer and validity period. *Feghhi et al.* teach a Web server that asks a client to submit its certificate when the client accesses a page, authenticate the client and make the client certificate available to the requested page. The page uses the certificate to determine the client's access privileges (*pg. 163, Microsoft ASP, Certificates, and Access Control*). *Feghhi* further teach implementation of the certificate authentication using Netscape. *Feghhi* discloses on *pg. 170*: "if a resource requires client certificate authentication for access control, the first time a user accesses the resource he must enter his user name and password to establish his identity. Netscape then maps the user's certificate to his user name and password. After the mapping is established, the user can seamlessly access a restricted resource without ever needing to provide his login and password. The server uses the client certificate to search the user LDAP database for the user's entry. If the entry is found, the server compares the certificate received against the certificate in the directory" (*pg. 170*).

This reads on a creation of a proxy identifying the grantor, a submittal by the grantee of a request for access to a resource repository, where the request for access is authorized by the proxy, validation by the resource repository of the request for access as authorized by the proxy, permitting access as requested by the request

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for access, electronic data interchange messages, formatted digital messages and a provision of the proxy to the resource repository.

8. The limitations of claims 2 and 4 and 7 are inherent (*Fig. 3-2 pg. 67*).

***Claim Rejections - 35 USC § 103***

The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

9. Claims 9 and 10 are rejected under 35 U.S.C. 103(a) as being unpatentable over

*Feghhi et al. (Jalal Feghhi, Jalil Feghhi, Peter Williams, "Digital Certificates Applied Internet Security, 1999, ISBN: 0201309807).*

10. As per claim 10 *Feghhi et al.* teach certificate revocation (*Certificate Revocation List, pg. 74-77*). Including a revocation of a previously issued scope of grant by the proxy would be implicit.

11. As per claim 9 *Feghhi et al.* do not explicitly teach using provision of the proxy to the resource repository via a proxy registry. Official Notice is taken that it is old and well-known practice to use registries to validate proxies. One of ordinary skill in art at the time of applicant's invention would provide the proxy to the resource repository via a proxy registry in order to assure a quick and accurate validation of the proxy.

12. Claim 3 is rejected under 35 U.S.C. 103(a) as being unpatentable over *Feghhi et al. (Jalal Feghhi, Jalil Feghhi, Peter Williams, "Digital Certificates Applied Internet*

*Security, 1999, ISBN: 0201309807) in view of CNN*

*(<http://www.cnn.com/TECH/computing/9907/14/digital.idg/>).*

13. *Feghhi et al.* teach the proxy as discussed above.

*Feghhi et al.* do not explicitly teach XML documents.

*CNN* teaches XML documents (*CNN, pg. 1*).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to implement XML documents in *Feghhi et al.*'s invention as taught by *CNN*. One of ordinary skill in the art would have been motivated to perform such a modification in order to make digital signatures universally accessible (*CNN, pg. 1*).


### ***Conclusion***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Peter Poltorak whose telephone number is (571)272-3840. The examiner can normally be reached Monday through Thursday from 9:00 a.m. to 4:00 p.m. and alternate Fridays from 9:00 a.m. to 3:30 p.m.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gregory Morse can be reached on (571) 272-3838. The fax phone number for the organization where this application or proceeding is assigned is 703-872-9306.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

  
Signature  
  
4/26/05  
Date

  
GREGORY MORSE  
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